

## **This schedule applies to: Department of Enterprise Services**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Enterprise Services relating to the unique functions of centralized services, including capital projects, state facility management, contract administration, human resources, motor pool, risk management and training. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

### **Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the Department of Enterprise Services (and its predecessor agencies) are revoked. The Department of Enterprise Services must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### **Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on December 4, 2013.

*Signature on File*

**For the State Auditor:**  
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## REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	October 5, 2011	Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the former Department of General Administration, the former Department of Printing, the former Department of Information Services, the former Department of Personnel and the Office of Financial Management that were transferred to the new Department of Enterprise Services on October 1, 2011.
1.1	September 5, 2012	Elimination of the Recruitment Services section.
1.2	December 4, 2013	Minor revisions to the Contracts and Purchasing Records and the Employee Assistance Program sections.

For assistance and advice in applying this records retention schedule,  
please contact the Department of Enterprise Services' Records Officer  
or Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

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## 1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration which are not covered by the *State Government General Records Retention Schedule*.

See *State Government General Records Retention Schedule* for additional records relating to agency management.

### 1.1 CONTRACTS AND PURCHASING RECORDS

*The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62851 Rev. 0	<b><i>Bid Deposit</i></b> Provides record of bid deposits. <i>Note: Replaces DAN 79-02-21958 granted to the former Department of General Administration.</i>	<b>Retain</b> for 3 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
13-12-68479 Rev. 0	<b><i>Contractor Debarment Investigations</i></b> Records of an investigation conducted regarding a contractor and affiliates. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Correspondence, notes and memoranda used as part of an investigation;</li> <li>• Referrals and dismissal of referral;</li> <li>• Notifications;</li> <li>• Resolution documents not rising to the level of a debarment order;</li> <li>• Case-specific sharing information agreements between the department and other agencies, state or federal;</li> <li>• Notice of recommendation of debarment;</li> <li>• Hearing transcript;</li> <li>• Final decisions and orders.</li> </ul>	<b>Retain</b> for 6 years after case closed and appeal period expired <i>or</i> final legal action, whichever is later <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 1.1 CONTRACTS AND PURCHASING RECORDS

*The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62852 Rev. 0	<b><i>Grants, Contracts and Loans Data</i></b> Administrative and financial data related to the issuance, management, review, approval, and reporting of contracts, grants, and loans, unless otherwise scheduled. When a new system is developed to replace the existing system, a minimum of 20 years of transferable data (when available) is migrated to the new system. <i>Note: Replaces DAN 09-03-61975 granted to the Office of Financial Management.</i>	<b>Retain</b> for 20 years after termination of contract, grant, or loan <i>then</i> <b>Destroy</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62853 Rev. 0	<b><i>Vendor Protests / Appeals</i></b> Copies of Vendor Protests of agency acquisitions. Also includes copies of vendor appeals to protest decision. <i>Note: Replaces DAN 93-01-51829 granted to the former Department of Information Services.</i>	<b>Retain</b> for 6 years after final disposition of protest / appeal <i>then</i> <b>Destroy</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## 2. ASSET MANAGEMENT

This section covers records relating to the management of the agency's physical and intellectual property assets which are not covered by the *State Government General Records Retention Schedule*.

See *State Government General Records Retention Schedule* for additional records relating to asset management.

### 2.1 FACILITIES MANAGEMENT

*The activity relating to the leasing and maintenance of state facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62854 Rev. 0	<b>Boiler and Chiller Reports</b> Provides a record of boiler and chiller readings at the State Powerhouse. <i>Note: Replaces DAN 79-04-22270 granted to the former Department of General Administration.</i>	<b>Retain</b> for 3 years after completion of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62855 Rev. 0	<b>Cancelled Space</b> Requests for leased space which have been cancelled without leases being written. <i>Note: Replaces DAN 73-05-02636 granted to the former Department of General Administration.</i>	<b>Retain</b> for 3 years after the cancellation of the request <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62856 Rev. 0	<b>Construction Drawings for Managed Facilities</b> Provides construction drawings and plans for future alterations of state managed facilities and leases. <i>Note: Replaces DAN 73-05-02650 granted to the former Department of General Administration.</i>	<b>Retain</b> for 6 years after the termination of lease <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 2.1 FACILITIES MANAGEMENT

*The activity relating to the leasing and maintenance of state facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62857 Rev. 0	<b>Facilities Planning Studies/Reports</b> Project folders for various planning studies/reports relating to space use, assignment, cost, etc. <i>Note: Replaces DAN 73-01-02378 granted to the former Department of General Administration.</i>	<b>Retain</b> for 25 years after completion of report <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11-10-62858 Rev. 0	<b>Lease Log</b> Records of assigned lease number with brief information. <i>Note: Replaces DAN 73-05-02639 granted to the former Department of General Administration.</i>	<b>Retain</b> for 25 years after the year of log <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## 2.2 INTELLECTUAL PROPERTY MANAGEMENT

*The activity of managing the agency's copyright, patents, trademarks and other intellectual property.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62859 Rev. 0	<p><b><i>Intellectual Property Ownership Documentation</i></b></p> <p>State and Federal Trademark, patent, or Copyright Ownership provided by the WA Secretary of State, Federal Copyright Office, or Federal patent and Trademark Office.</p> <p><i>Note: Replaces DAN 09-10-62133 granted to the former Department of Information Services.</i></p>	<p><b>Retain</b> for 6 years after expiration date</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM

## 2.3 REAL PROPERTY MANAGEMENT

*The activity relating to the acquisition, management, and disposition of agency-owned real property (land).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62860 Rev. 0	<p><b><i>Real Estate Acquisitions and Disposals</i></b></p> <p>Provides a record of actions and transactions necessary in the acquisition and disposal of real estate for the State of Washington.</p> <p><i>Note: Replaces DAN 73-05-02642 granted to the former Department of General Administration.</i></p>	<p><b>Retain</b> for 25 years after disposal of property <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR</p>

### 3. CAPITAL PROJECT SERVICES

This section covers records relating to capital projects and public works coordinated by the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62861 Rev. 0	<b>Capital Project Files</b> Record of detailed financial information on the status of capital funded projects. <i>Note: Replaces DAN 96-02-56449 granted to the former Department of General Administration.</i>	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62862 Rev. 0	<b>Public Works Project Files</b> Record of work performed for design and construction projects. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Bids and plan specifications</li> <li>• Pre-designs and schematics</li> <li>• Permanent structure drawings (such as parks and memorials)</li> <li>• Financial activity summaries for Public Works Projects.</li> </ul> <i>Note: All original drawings, tracings, and specifications are returned to the owners for non-Capitol projects.</i> <i>Note: Replaces DAN 72-02-01884 granted to the former Department of General Administration.</i>	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR
11-10-62863 Rev. 0	<b>Unfinished Project Files</b> Record of pre-designs and design documents for buildings proposed, but not completed. <i>Note: Replaces DAN 11-08-62770 granted to the former Department of General Administration.</i>	<b>Retain</b> for 25 years after project cancellation date <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 4. CAPITOL CAMPUS SERVICES

This section covers records relating to the management of events and activities held in the public areas of the Capitol Campus.

### 4.1 VISITOR SERVICES

*The activity relating to the provision of services to visitors to the Capitol Campus.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62864 Rev. 0	<p><b>Campus Tours</b> Records of tours. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requests and schedules of tours</li> <li>• Tour information and maps</li> </ul> <p><i>Note: Replaces DAN 10-01-62173 granted to the former Department of General Administration.</i></p>	<p><b>Retain</b> for 3 years after the end of the event <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62865 Rev. 0	<p><b>Visitor Services and Events</b> Records of public and legislative scheduled events held on the Capitol Campus and Capitol Lake. Includes, but not limited to:</p> <ul style="list-style-type: none"> <li>• Requests and schedules for events</li> <li>• Event information, maps, and other related records</li> </ul> <p><i>Note: Replaces DAN 10-01-62172 granted to the former Department of General Administration.</i></p>	<p><b>Retain</b> for 3 years after event <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR

## 5. INFORMATION TECHNOLOGY SYSTEMS AND SERVICES

This section covers records relating to the management of enterprise systems such as the Human Resource Management System (HRMS) and payroll systems.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62866 Rev. 0	<b><i>Human Resource Management System (HRMS) Database</i></b> The Human Resource Management System (HRMS) database contains documentation of employee pay status, miscellaneous payroll deductions, internal revenue information, insurance plans, garnishments, sick/annual leave balance and other documentation regarding employee payroll. <i>Note: Replaces DAN 07-09-61614 granted to the former Department of Personnel.</i>	<b>Retain</b> for 60 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11-10-62867 Rev. 0	<b><i>Payroll Pick-Up Signature Log</i></b> Provides a record of the signature of the individual that picks up the payroll warrants and backup for an agency, the payroll register number and the date. <i>Note: Replaces DAN 86-03-36288 granted to the former Department of Personnel.</i>	<b>Retain</b> for 6 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62868 Rev. 0	<b><i>Payroll System (PAY1) Database</i></b> The Payroll System (PAY1) database contains documentation of employee pay status, miscellaneous payroll deductions, internal revenue information, insurance plans, garnishments, sick/annual leave balance and other documentation regarding employee payroll. <i>Note: Replaces DAN 07-09-61615 granted to the former Department of Personnel.</i>	<b>Retain</b> for 60 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## 6. MOTOR POOL SERVICES

This section covers records relating to travel arrangements and motor pool functions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62869 Rev. 0	<b>Long-Term Approved Vehicle Requests</b> Requests from state agencies for the issuance of state motor pool vehicles on a permanent basis. <i>Note: Replaces DAN 11-08-62772 granted to the former Department of General Administration.</i>	<b>Retain</b> for 6 years after disposition of vehicle <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62870 Rev. 0	<b>Short-Term Approved Vehicle Request</b> Requests from state agencies for the issuance of state motor pool vehicles on a temporary basis. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Requests and reservations for use</li> <li>• Project cars and trip tickets</li> </ul> <i>Note: Replaces DAN 11-08-62771 granted to the former Department of General Administration.</i>	<b>Retain</b> for 3 years after date of request <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## 7. PERSONNEL AND EMPLOYEE SERVICES

This section covers records relating to the provision of personnel and employee services to state agencies.

### 7.1 EMPLOYEE ASSISTANCE PROGRAM

*The activity relating to the provision of the employee assistance program.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62871 Rev. 1	<b><i>Employee Assistance Program (EAP) Case Files</i></b> Confidential client case files containing assessments, referrals and workplace consultations or information. <i>Note: Replaces DAN 80-09-25593 granted to the former Department of Personnel.</i>	<b>Retain</b> for 8 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 7.2 TRAINING SERVICES

*The activity of providing training services for state agencies.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62876 Rev. 0	<b>Course Folders</b> A record of presentation or course material developed and gathered for use in training for state employees and contractors. Referenced for course objectives and for information relative to participant evaluations of the courses. <i>Note: Replaces DAN 85-03-35133 granted to the former Department of Personnel.</i>	<b>Retain</b> for 4 years after end of fiscal year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62877 Rev. 0	<b>Learning Management System (LMS) Class Rosters/Outline</b> Rosters of student names, phone numbers, mailstops, and signatures/substitute signatures; class name, date, location and number of actual class hours; instructor name, signature and date; and outlines of specific course elements of each class. <i>Note: The Washington State Board of Accountancy "Guidelines for CPE Sponsors" requires five-year retention of these records.</i> <i>Note: Replaces DAN 06-03-61124 granted to the Office of Financial Management.</i>	<b>Retain</b> for 5 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62878 Rev. 0	<b>Learning Management System (LMS) Training Data</b> Student information and registration data for agency-sponsored training classes, including employee name, contact information, agency, mailstop, class information, instructors, dates, and documentation of the training process, including confirmation of registration. <i>Note: Replaces DAN 06-03-61123 granted to the Office of Financial Management.</i>	<b>Retain</b> for 5 years after disposition or transfer of system data to a new system <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM



## 7.2 TRAINING SERVICES

*The activity of providing training services for state agencies.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62879 Rev. 0	<p><b><i>Learning Management System (LMS) Training Materials</i></b></p> <p>Copies of class materials for each training class, which may include outlines, agendas, presentation materials, and handouts.</p> <p><i>Note: The Washington State Board of Accountancy "Guidelines for CPE Sponsors" requires five-year retention of these records.</i></p> <p><i>Note: Replaces DAN 06-03-61125 granted to the Office of Financial Management.</i></p>	<p><b>Retain</b> for 5 years after superseded or obsolete <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62880 Rev. 0	<p><b><i>Training Information Systems Databases (HRDIS)</i></b></p> <p>Ongoing databases used for training registration, participant information and E-Learning information which may contain confidential information.</p> <p><i>Note: Replaces DAN 07-06-61523 granted to the former Department of Personnel.</i></p>	<p><b>Retain</b> for 6 years after end of calendar year <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 8. RISK MANAGEMENT SERVICES

This section covers records relating to the provision of comprehensive risk management services for state agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62881 Rev. 0	<b><i>Claim Files</i></b> Contains tort and sundry claims filed against the State of Washington and related documents, including correspondence about specific claims (RCW 4.92.100). <i>Note: Replaces DAN 93-12-53474 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after fiscal year of claim closure <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11-10-62882 Rev. 0	<b><i>Claims Summary Information</i></b> Contains reports produced from tort claims database relating to potential state liability. <i>Note: Replaces DAN 93-12-53475 granted to the Office of Financial Management.</i>	<b>Retain</b> for 5 years after fiscal year of claim <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62883 Rev. 0	<b><i>Commercial Insurance Claim Files</i></b> Contains claims or reports of loss that have been filed with commercial insurance carriers and related documents, including correspondence about specific claims. <i>Note: Replaces DAN 08-02-61723 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after fiscal year of receipt <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11-10-62884 Rev. 0	<b><i>Computerized Data Reports</i></b> Computer printouts providing capsulated data as to costs of risks to which the state is exposed and allocation of expense required to support the state risk management program. <i>Note: Replaces DAN 78-10-21207 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62885 Rev. 0	<b><i>Extraneous Investigation Records</i></b> Extraneous records received from state entities in the course of a tort claim investigation which are copies of original documents maintained by those state entities, or copies of documents obtained by those state entities. These records are evaluated as not essential or important to the tort claim decision-making process. <i>Note: Replaces DAN 08-12-61982 granted to the Office of Financial Management.</i>	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62886 Rev. 0	<b><i>Incident Files</i></b> Contains information regarding a potential loss for which the state may be liable. <i>Note: Replaces DAN 94-01-53480 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after receipt <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62887 Rev. 0	<b><i>Insurance Policies</i></b> Property, casualty and accident insurance policies, including policy billing records, insurance certificates, bonds, policy correspondence and underwriting information. <i>Note: Replaces DAN 78-10-21199 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after calendar year of policy expiration <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11-10-62888 Rev. 0	<b><i>Local Government Self-Insurance Program Request for Approval</i></b> Local government self insurance program initial filing, including program description, actuarial study, feasibility study, and copies of all program contracts. <i>Note: Replaces: DAN 93-12-53471 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after termination of program <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62889 Rev. 0	<b>Loss Prevention Review Program</b> Program development and related documents, including guidelines, criteria, manuals, training materials, incident reports, and final review team reports, supporting documentation, and agency response (RCW 43.41.350). <i>Note: Replaces DAN 08-02-61724 granted to the Office of Financial Management.</i>	<b>Retain</b> for 6 years after fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11-10-62890 Rev. 0	<b>Retrospective Rating Group 159 Program Files</b> Program files associated with the state's Small Group Retrospective Rating Program through the Department of Labor and Industries. May include member applications, group retrospective enrollment documents, and other documentation related to administering the program.	<b>Retain</b> for 6 years after end of fiscal year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62891 Rev. 0	<b>Tort Claims Database</b> Summary of most recent six years of tort claims and incident data.	<b>Retain</b> for 6 years after end of fiscal year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## 9. SMALL AGENCY SERVICES

This section covers records relating to the provision of services for small state agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62892 Rev. 0	<b>Hardwoods Commission Financial Reports</b> Detail and summary financial and statistical information reports created on a monthly or daily basis for the Hardwoods Commission, a non-AFRS (Agency Financial Reporting System) agency. <i>Note: Replaces DAN 08-03-61755 granted to the Office of Financial management.</i>	<b>Retain</b> for 6 years after date of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62893 Rev. 0	<b>Position Action Request</b> Provides a record of request for establishment, abolishment, reallocation, transfer and data change of positions of designated small agencies for evaluation and subsequent actions required. <i>Note: Replaces DAN 80-05-24981 granted to the former Department of Personnel.</i>	<b>Retain</b> for 6 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 10. LEGACY RECORDS

This section covers records no longer being created or received by the Department of Enterprise Services (or any predecessor agencies) which have yet to reach their minimum retention period.

10.1 FORMER DEPARTMENT OF GENERAL ADMINISTRATION			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62894 Rev. 0	<p><b><i>Manville Trust Files</i></b></p> <p>Documentation pertaining to asbestos property damage claims filed by the State of Washington against the trust pursuant to proceedings for a reorganization under Chapter 11. (Case Nos. 82B11656 (BRL) – 82B11676 Facilities).</p> <p><i>Note: Replaces DAN 95-06-55200 granted to the former Department of General Administration.</i></p>	<p><b>Retain</b> for 40 years after filing claim <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OFM</p>

## GLOSSARY

### ***Appraisal***

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

### ***Archival (Appraisal Required)***

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### ***Archival (Permanent Retention)***

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

*WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.*

### ***Disposition***

Actions taken with records when they are no longer required to be retained by the agency.

*Possible disposition actions include transfer to Washington State Archives and destruction.*

### ***Disposition Authority Number (DAN)***

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

### **Essential Records**

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.*

### **Non-Archival**

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

*Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*

### **Non-Essential Records**

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

### **OFM (Office Files and Memoranda)**

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

*(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”*

### **OPR (Official Public Records)**

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

*(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or*



*documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."*

### **Public Records**

#### **RCW 40.14.010 – Definition and classification of public records.**

*"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."*

### **Records Series**

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

### **State Records Committee**

**The committee established by RCW 40.14.050 to review and approve disposition of state government records.**

*Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.*

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